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JUNE 28, 2001

PTAS



\*101677949A\*

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UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/06/2001

REEL/FRAME: 011695/0288  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

TANAKA, TSUTOMU

DOC DATE: 03/16/2001

ASSIGNOR:

FUJINO, MASAHIRO

DOC DATE: 03/26/2001

ASSIGNOR:

HAYASHI, HISAO

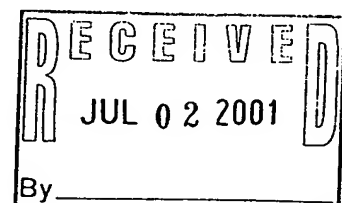
DOC DATE: 03/16/2001

ASSIGNEE:

SONY CORPORATION  
7-35, KITASHINAGAWA 6-CHOME  
SHINAGAWA-KU, TOKYO 141, JAPAN

SERIAL NUMBER: 09827676  
PATENT NUMBER:

FILING DATE: 04/06/2001  
ISSUE DATE:



011695/0288 PAGE 2

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



101677949

To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

TSUTOMU TANAKA  
MASAHIRO FUJINO  
HISAO HAYASHI

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of

Name

☐ Other

Execution Date March 16 and 26, 2001

## 2. Name and address of receiving party(ies):

Name: Sony Corporation

Internal Address:

7-35, Kitashinagawa 6-chome

Shinagawa-ku, Tokyo 141, Japan

Street Address:

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Additional Name(s) & Address(es) attached ☐ Yes ☒ No

## 4. Application (number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 3/16 and 3/26/01

## A. Patent Application No.(s)

Attorney Docket No. 09792909-4970

Additional numbers attached? ☐ Yes ☒ No

## B: Patent No.(s)

09827676

5. Name and address of party to whom correspondence concerning document should be mailed:

SONNENSCHN NATH & ROSENTHAL  
P.O. Box #061080  
Wacker Drive Station  
Sears Tower  
Chicago, IL 60606-1080  
Customer ID No. 26263

## 6. Total number of applications and patents involved

1

7. Total Fee (37 CFR 3.41) ..... \$ 40.00

☒ Enclosed

☒ Authorized to be charged to deposit account any Additional fees

## 8. Deposit Account Number:

19,3140

(Attach duplicate copy of this page if paying by deposit account)

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## 9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David R. Metzger

Name of Person Signing

David R. Metzger  
Signature

April 6, 2001

Date

Total number of pages 3

Mail documents to be recorded and required cover sheet information to:  
Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231+

04/10/2001 03 FC:581 00000015 09827676

40.00 OP

WHEREAS, I, as a [redacted] named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in **THIN-FILM TRANSISTOR AND METHOD FOR MAKING THE SAME**

for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: \_\_\_\_\_, Filing Date: \_\_\_\_\_.

This assignment executed on the dates indicated below.

TSUTOMU TANAKA

Name of first or sole inventor

16/Mar./2001  
Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of first or sole inventor

*Tsutomu Tanaka*  
Signature of first or sole inventor

16/Mar./2001  
Date of this assignment

MASAHIRO FUJINO

Name of second inventor

26 / Mar. / 2001

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of second inventor

*Masahiro Fujino*

Signature of second inventor

26 / Mar. / 2001

Date of this assignment

HISAO HAYASHI

Name of third inventor

16 / Mar. / 2001

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of third inventor

*Hisao Hayashi*

Signature of third inventor

16 / Mar. / 2001

Date of this assignment

Name of fourth inventor

Execution date of U.S. Patent Application

Residence of fourth inventor

Signature of fourth inventor

Date of this assignment

Name of fifth inventor

Execution date of U.S. Patent Application

Residence of fifth inventor

Signature of fifth inventor

Date of this assignment

## DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

THIN-FILM TRANSISTOR AND METHOD FOR MAKING THE SAME

Case No, 09792909-4970, the specification of which

(check  
one)

\_\_\_\_\_ is attached hereto

\_\_\_\_\_ was filed on \_\_\_\_\_, as

Application Serial No. \_\_\_\_\_

and was amended on \_\_\_\_\_

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent Office all information which is known to me to be material to the patentability of this application in accordance with Titel 37, Code of Federal Regulations. 1.56<sup>1</sup>

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and I believe that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months prior to this application, and that no application for patent or inventor's certificate on this invention has been filed in any country foreign to the United States of America prior to this application by me or my legal representatives or assigns, except as identified below:

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below:

Prior Foreign Application(s)

Number

P2000-105304

Country

Japan

Date

April 6, 2000

and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the above listed application on which priority is claimed:

<sup>1</sup> (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the application takes in:

(i) opposing an argument of unpatentability relied on by the Office, or

(ii) asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden of proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

Prior Foreign Application(s)  
Number

Country

Date

If no priority is claimed, I have identified all foreign patent applications filed prior to this application:

Prior Foreign Application(s)  
Number

Country

Date

And I hereby appoint Joseph A. Mahoney (Reg. No. 38,956), Howard B. Rockman (Reg. No. 22,190), Jordan A. Sigale, (Reg. No. 39,028), Michael A. Molano (Reg. No. 39,777), Michael L. Kiklis (Reg. No. 38,939), Janelle D. Strobe (Reg. No. 34,738), Kevin W. Guynn (Reg. No. 29,972), David R. Metzger (Reg. No. 32,919), Jennifer Hammond (Reg. No. 41,814), Lana Knedlik (Reg. No. 42,748), John F. Griffith (Reg. No. 44,137), Marina Saito (Reg. No. 42,121), Alison P. Schwartz (Reg. No. 43,863), Christopher P. Rauch (Reg. No. 45,034), Francisco Rubio-Campos (Reg. No. 45,358), Brian J. Gill (Reg. No. 46,727) and Shashank S. Upadbye, all members of the firm of Sonnenschein, Nath & Rosenthal

Telephone 312/876-0200 Ext. 2578

my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and direct that all correspondence be forwarded to:

SONNENSCHN NATH & ROSENTHAL  
80<sup>th</sup> Floor - Sears Tower  
233 S. Wacker Drive, Chicago, IL 60606

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor TSUTOMU TANAKA

Inventor's signature

Tsutomu Tanaka

Date 16/Mar./2001

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Citizenship

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Full name of second inventor

MASAHIRO FUJINO

Inventor's signature

Masahiro Fujino

Date 26/Mar./2001

Residence

Kanagawa, Japan

Citizenship

Japanese

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7-35, Kitashinagawa 6-chome, Shinagawa-ku, Tokyo, Japan

Full name of third inventor

HISAO HAYASHI

Inventor's signature

Hisao Hayashi

Date 16/Mar./2001

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